**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT****(Under 37 CFR 1.97(b) or 1.97(c))**Docket No.  
148527-1In Re Application Of: **Gascoyne, et al.**Serial No.  
10/709,208Filing Date  
April 21, 2004Examiner  
NYAGroup Art Unit  
NYATitle: **AUTHENTICATION SYSTEM, DATA DEVICE, AND METHODS FOR USING THE SAME**

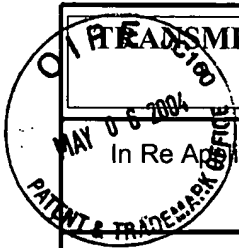
Address to:

**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450****37 CFR 1.97(b)**

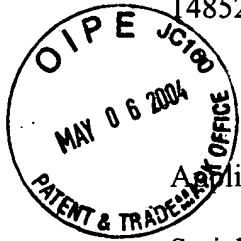
1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))			Docket No. 148527-1
In Re Application: Gascoyne, et al.			
Serial No. 10/709,208	Filing Date April 21, 2004	Examiner NYA	Group Art Unit NYA
AUTHENTICATION SYSTEM, DATA DEVICE, AND METHODS FOR USING THE SAME			
<b>Payment of Fee</b> (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))			
<input type="checkbox"/> A check in the amount of _____ is attached.			
<input checked="" type="checkbox"/> The Director is hereby authorized to charge and credit Deposit Account No. 07-0862 as described below.			
<input type="checkbox"/> Charge the amount of _____			
<input type="checkbox"/> Credit any overpayment.			
<input checked="" type="checkbox"/> Charge any additional fee required.			
<b>Certificate of Transmission by Facsimile*</b>		<b>Certificate of Mailing by First Class Mail</b>	
<div>I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:  _____ (Date)  _____ Signature  _____ Typed or Printed Name of Person Signing Certificate</div>		<div>I certify that this document and fee is being deposited on May 4, 2004 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.   _____ Signature of Person Mailing Correspondence Sonia Mancini _____ Typed or Printed Name of Person Mailing Certificate</div>	
<p>*This certificate may only be used if paying by deposit account.</p> <div> _____ Signature Pamela J. Curbelo Registration No. 34,676 Customer No. 23413 (860) 286-2929</div> <div>Dated: May 4, 2004</div>			
CC:			



# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gascoyne, et al. )  
 Serial No.: 10/709,208 ) Group Art Unit: NYA  
 Filing Date: April 21, 2004 ) Examiner: NYA  
 For: AUTHENTICATION SYSTEM, DATA )  
 DEVICE, AND METHODS FOR USING )  
 THE SAME )

Commissioner for Patents  
 P. O. Box 1450  
 Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 AND 1.98

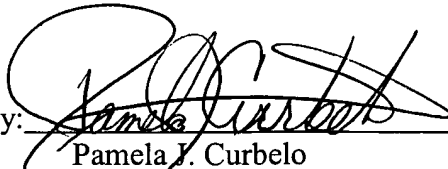
Sir:

In compliance with the duty to disclose, submitted herewith is form PTO-A820 (PTO-1449) listing publication(s) of which those designated by 37 CFR § 1.56 are aware. Copies of the non-United States patents or published applications are enclosed.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or an admission that the information cited is, or is considered to be, material to patentability.

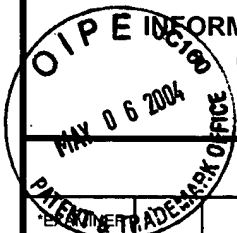
Respectfully submitted,

CANTOR COLBURN LLP

By:   
 Pamela J. Curbelo  
 Registration No. 34,676

Date: May 4, 2004  
 Customer No.: 23413  
 Telephone: (860) 286-2929

<div style="text-align: center;"> <b>INFORMATION DISCLOSURE CITATION</b>  <i>(Use several sheets if necessary)</i> </div>	ATTY DOCKET NO. <b>148527-1</b>	SERIAL NO. <b>10/709,208</b>
	Gascoyne, et al.	
	FILING <b>April 21, 2004</b>	GROUP <b>NYA</b>



**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
1	3,635,895	01/18/1972	Kramer, et al.	260	47 XA	10/31/1969
2	4,001,184	01/04/1977	Scott	260	47 XA	03/31/1975
3	4,217,438	08/12/1980	Brunelle, et al.	528	202	12/15/1978
4	4,238,524	12/09/1980	LaLiberte, et al.	427	7	03/06/1978
5	4,600,632	07/15/1986	Paul, et al.	428	220	04/12/1985
6	4,699,510	10/13/1987	Alguard	356	73	11/07/1984
7	5,005,873	04/09/1991	West	283	92	04/07/1987
8	5,137,364	08/11/1992	McCarthy	356	402	01/31/1991
9	5,142,018	08/25/1992	Sakashita, et al.	528	199	10/30/1991
10	5,151,491	09/29/1992	Sakashita, et al.	528	199	09/21/1989
11	5,201,921	04/13/1993	Luttermann, et al.	8	506	09/06/1991

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
12	EP 0121261 A2	10.10.1984	Europe				✓
13	EP 1220165 A2	03.07.2002	Europe				✓
14	EP 0181228 B1	14.05.1986	Europe				✓
15	WO 98/31011	16.07.1998	International				✓
16	WO 00/14736	16.03.2000	International				✓

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

	17	<a href="http://www.taosinc.com/product_detail.asp?cateid=11&amp;proid=12">http://www.taosinc.com/product_detail.asp?cateid=11&amp;proid=12</a> ; "Color Sensors"; TAOSin / Texas Advanced Optoelectronic Solutions; 02/23/2004 (1 page)
	18	Kevin M. Cantrell, et al.; "The SLIM Spectrometer"; Analytical Chemistry, Volume 75, Number 1, January 1, 2003, pp 27-35

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	Gascoyne, et al.	
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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	19	5,314,072	05/24/1994	Frankel, et al.	209	44.1	09/02/1992
	20	5,326,692	07/05/1994	Brinkley, et al.	435	6	05/13/1992
	21	5,329,127	07/12/1994	Becker, et al.	250	459.1	04/12/1993
	22	5,380,795	01/10/1995	Gosens, et al.	525	67	11/23/1993
	23	5,510,619	04/23/1996	Zachmann, et al.	250	339.08	11/18/1994
	24	5,553,714	09/10/1996	Cushman, et al.	209	577	11/14/1994
	25	5,573,909	11/12/1996	Singer, et al.	435	6	05/20/1994
	26	5,703,229	12/30/1997	Krutak, et al.	540	140	02/29/1996
	27	5,838,451	11/17/1998	McCarthy	356	406	
	28	6,099,930	08/08/2000	Cyr, et al.	428	64.1	12/15/1997
	29	6,160,787	12/12/2000	Marquardt, Jr., et al.	369	275.1	01/10/1997

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
30	WO 03/087888 A2	23.10.2003	International			✓
31	GB 1,170,965	19.11.1969	United Kingdom			✓
32	GB 2264558 A	01.09.1993	United Kingdom			✓
33	GB 2330408 A	21.04.1999	United Kingdom			✓

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

34	Billboard, 114, 43, 46(I); October 26, 2003; ISSN: 0006-2510; Copyright 2002 VNU Business Media; Universal Italy initiatives encourage price cutting: president/CEO calls for other labels to follow his company's lead. (International) 1 page
35	Letters to the Editor, Financial Times, USA Ed1 20021119U112.036 ed, p 12; November 19, 2002; Journal Code: FFT; Industry Fails to provide user-friendly music 1 page

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**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
36	US 6,514,617 B1	02/04/2003	Hubbard, et al.	428	412	07/11/2001
37	US 6,543,351 B1	04/08/2003	Haycock, et al.	702	127	07/20/2000
38	US 6,589,626 B2	07/08/2003	Selinfreund, et al.	428	64.1	03/29/2001
39	US 6,603,126 B2	08/05/2003	Yamada, et al.	250	372	12/11/2001
40	US 6,638,593 B2	10/28/2003	Selinfreund, et al.	428	64.1	06/12/2001
41	US 2003/012562 A1	01/16/2003	Lawandy, et al.	386	126	06/06/2002

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

42	Online Reporter, p NA; August 23, 2003; Newsletter (United States) Kviar Sees Custom CD Kiosks All over Brazil; Copyright 2003 G2 Intelligence, Inc. (1 page)
43	South China Morning Post, p11, July 17, 2001; "Creative thinking the magic ingredient for modest enterprises looking to establish their own market niche Spark of originality fires smart ventures"; Copyright 2001 (2 pages)

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